

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

First Named  
Inventor : William H. Rockenbeck

Appln. No. :

Filed : HEREWITH

For : METHOD AND APPARATUS FOR  
FRAME ALIGNMENT AND  
UNSUPERVISED ADAPTATION OF  
ACOUSTIC MODELS

Docket No.: M61.12-0320

Group Art Unit:  
Examiner:

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
Washington, D.C. 20231  
Sir:

VIA EXPRESS MAIL EL636051703US

The patents or publications listed on the enclosed PTO Form-1449 are submitted pursuant to 37 C.F.R. § 1.97. Copies of the patents or publications cited are enclosed.

The Director is authorized to charge any fee deficiency required by this paper or credit any overpayment to Deposit Account No. 23-1123. A duplicate copy of this communication is enclosed.

Respectfully submitted,

WESTMAN, CHAMPLIN & KELLY, P.A.

By: 

Theodore M. Magee, Reg. No. 39,758  
Suite 1600 - International Centre  
900 Second Avenue South  
Minneapolis, Minnesota 55402-3319  
Phone: (612) 334-3222  
Fax: (612) 334-3312

TMM:ajm

J. J.  
#2 2-16-01  
IDS w/fees

JCE43 U.S. PTO  
09/746583  
12/23/00

FORM PTO-1449	Atty. Docket No.: M61.12-0320	Appl. No.
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT	First Named Inventor:	
	William H. Rockenbeck	
	Filing Date	Group
	HEREWITH	

JCE43 U.S. PRO  
 09/746583  
 12/23/00

## U.S. PATENT DOCUMENTS

Examiner Initial	Document No.	Date	Name	Class	Sub Class	Filing Date If Appropriate
AA						
AB						

## FOREIGN PATENT DOCUMENTS

	Document No.	Date	Country	Class	Sub Class	Translation Yes No
AC						
AD						

## OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

AE	"Tree-structured Models of Parameter Dependence for Rapid Adaptation in Large Vocabulary Conversational Speech Recognition", by A. Kannan et al., 1999 IEEE International Conference on Acoustics, Speech, and Signal Processing, Vol. 2, p. 769-72 (March 1999).
AF	"N-Best Based Supervised and Unsupervised Adaptation for Native and Non-Native Speakers in Cars", by P. Nguyen et al., 1999 IEEE International Conference on Acoustics, Speech and Signal Processing, Vol. 1, p. 173-6 (March 1999).
AG	"Unsupervised Adaptation Using Structural Bayes Approach", by K. Shinoda et al., Proceedings of the 1998 IEEE International Conference on Acoustics, Speech and Signal Processing, Vol. 2, p. 793-6 (May 1998).
AH	"Long Term On-line Speaker Adaptation for Large Vocabulary Dictation", by E. Thelen, Proceedings ICSLP 96. Fourth International Conference on Spoken Language Processing, Vol. 4, p. 2139-42 (October 1996).
AI	"Rapid Unsupervised Adaptation to Children's Speech on A Connected-digit Task", by D.C. Burnett et al., Fourth International Conference on Spoken Language Processing, Vol. 2, p. 1145-8 (October 1996).
AJ	"Iterative Unsupervised Adaptation Using Maximum Likelihood Linear Regression", by P.C. Woodland et al., Proceedings ICSLP 96. Fourth International Conference on Spoken Language Processing, Vol. 2, p. 1133-6 (October 1996).
AK	"An Experimental Study of Acoustic Adaptation Algorithms", by A. Sankar et al., 1996 IEEE International Conference on Acoustics Speech, and Signal Processing Conference Proceedings, Vol. 2, p. 713-16 (May 1996).
AL	"Unsupervised Adaptation to New Speakers in Feature-Based Letter Recognition", by M.J. Lasry, ICASSP 84. Proceedings of the IEEE International Conference on Acoustics, Speech and Signal Processing, Vol. 2, p. 17.6/1-4 (March 1984).

EXAMINER:

DATE CONSIDERED:

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.